For Internal Use Only Submit 1 Original OMB APPROVAL Sec File No. 9and 9 Copies 3235-0504 OMB Number: July 31, 2004 Expires: UNITED STATES Estimated average burden SECURITIES AND EXCHANGE COMMISSION hours per response. 2.00 Washington, D.C. 20549 FEB 2 FORM 19b-4(e)

FORM 19b-4(e)

DIVISION Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934 READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM Part I **Initial Listing Report** 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: The NASDAQ Stock Market LLC (traded pursuant to unlisted trading privileges) Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Corporation 3. Class of New Derivative Securities Product: **Index Linked Notes** 4. Name of Underlying Instrument: Russell 2000 Index 07046429 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based** 6. Ticker Symbol(s) of New Derivative Securities Product: RIS 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NASDAQ, NYSE, Amex 8. Settlement Methodology of New Derivative Securities Product: Regular way trades settle on T+3 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): N/A Part II Execution The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards. Name of Official Responsible for Form: Gary N. Sundick Title: Vice President, Listing Qualifications Act Securities Exchange Act of 1934

SEC 2449 (6-01)

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Section

Rule

Public

Availability

Telephone Number:

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Manual Signature of Official Responsible for Form:

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